



Office of the Kansas Securities Commissioner

618 S. Kansas Avenue
Topeka, KS 66603-3804
Telephone: (785) 296-3307 or 800-232-9580 (In Kansas only)
Fax: (785) 296-6872
www.securities.state.ks.us

COMPLAINT FORM

Please attach a copy of all written materials (including but not limited to checks, contracts, advertisements, pamphlets, and letters or correspondence) which may relate to your complaint.

Thank you for your interest and cooperation.

(Please type or print)

Personal Information about Purchaser or Complainant

				Current Date

Last Name		First		Middle

Home Address		City	State	Zip
				Telephone Number

Business Address		City	State	Zip
				Telephone Number

Trade or Occupation	Date of Birth		Male or Female	Social Security Number
E-Mail Address			Fax number	

Are you willing to be interviewed by an investigator from this office? _____ Yes _____ No

Are you willing to be a witness if formal proceedings are commenced by the Commissioner? _____ Yes _____ No

Information about Subject or Seller (If unknown, please indicate)

In what company, corporation or association did you invest?

_____	_____	_____
Name of company, corporation or association	Address	Telephone Number

List persons who took part in this transaction and tell how each participated. (Please use separate pages or backs of these pages to set forth any other available information about these persons.)

Last Name	First	Middle	Position	Telephone Number
Address			City	State
How participated? _____				

Last Name	First	Middle	Position	Telephone Number
Address			City	State
How participated? _____				

How did you learn of the investment? (Check more than one if necessary and enclose a copy of pamphlets or advertisements if possible.)

____ Personal Visit
 When? _____
 Where? _____
 Whom? _____
 Who else was present? _____

____ Telephone Call
 Date? _____
 From whom? _____
 At what address/location was the call received? _____

____ Advertising Pamphlet/Sales Letter _____
 Mailed to you at what address/location? _____
 Copy of pamphlet/sales letter enclosed? _____
 Copy of envelope enclosed? _____

____ Newspaper _____
 Name of paper? _____
 Date? _____
 Copy of advertisement enclosed? _____

____ Radio/Television _____
 Name of station? _____
 Date? _____

____ Group Sales Presentation
 Date of presentation? _____
 Where? _____
 Others present? _____

____ Other (Please specify) _____

List others who were present and witnessed the offer or sales which were made to you. (Use the back of this page if necessary.)

Name	Address	Telephone	Relationship to Complainant (Purchaser) or Seller
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Name	Address	Telephone	Relationship to Complainant (Purchaser) or Seller
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What did you purchase or invest in? (Examples: common stock, debenture, promissory note, limited partnership interest, investment contract, fractional interest in an oil and gas lease.)

How many units or shares did you purchase? _____

What was the total amount of your investment? \$ _____ Cash \$ _____ Check
Other (ex. money order, cashiers check) _____ (Enclose copy of both sides of check.)

Who received the payment from you? _____

When? _____

Where? _____

By mail? _____

On what dates were the units or shares purchased? _____

Did you sign any type of contract? _____ If so, please enclose a copy.

Where was it signed? _____

Who else was present? _____

Relationship of other persons to complainant (purchaser) or seller? _____

How were your securities delivered?

If in person: _____

By whom? _____

When? _____

Where? _____

If by mail, please enclose the envelope and cover letter.

Have you had any prior business relationships/dealings with either the company or the salesperson who contacted you?

Yes _____ No _____

List any oral representations or promises made to you by the salesperson. _____

Do you know of any statements made to you by the salesperson which were untrue? _____

(Please indicate) _____

Do you know of any other persons who invested with the company, corporation or association? If so, please provide their name, address and telephone number. _____

Have you notified or filed a complaint with any of the following agencies?

_____ U.S. Securities & Exchange Commission	_____ Sheriff's Office
_____ Kansas Attorney General	_____ Local Police Department
_____ Kansas Bureau of Investigation	_____ Better Business Bureau
_____ County or District Attorney	_____ Local Newspaper
_____ Kansas Insurance Department	
_____ Financial Industry Regulatory Authority (FINRA)	

Have you complained to the subject or seller? Yes _____ No _____

If yes, what offer of adjustment or explanation was made? _____

Who made the offer of adjustment? _____

Please provide a narrative of the transactions which gave rise to your complaint? (Use separate sheets or the back of this page if necessary.) _____

What would you consider to be a satisfactory solution? _____

Name (Please sign in ink)

Date

Please return this complaint and all attachments to:

**Director of Enforcement
Office of the Kansas Securities Commissioner
618 South Kansas Avenue
Topeka, KS 66603-3804**